

FORM PTO-1390 (Modified) (REV 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 113278-006	
<b>TRANSMITTAL LETTER TO THE UNITED STATES</b> <b>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b> <b>CONCERNING A FILING UNDER 35 U.S.C. 371</b>				U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR <b>10/088,463 10/088468</b>	
INTERNATIONAL APPLICATION NO. <b>PCT/JP01/06214</b>		INTERNATIONAL FILING DATE <b>July 18, 2001</b>		PRIORITY DATE CLAIMED <b>July 18, 2000</b>	
TITLE OF INVENTION <b>SEMICONDUCTOR LIGHT-EMITTING ELEMENT AND SEMICONDUCTOR LIGHT-EMITTING DEVICE</b>					
APPLICANT(S) FOR DO/EO/US <b>Okuyama, et al.</b>					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol>					
<b>Items 13 to 20 below concern document(s) or information included:</b>					
<ol style="list-style-type: none"> <li>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</li> <li>23. <input checked="" type="checkbox"/> Other items or information:  <div style="margin-left: 20px;"> <b>Copy of Notification of Missing Requirements; and</b>  <b>Return Receipt Postcard.</b> </div> </li> </ol>					

U.S. APPLICATION NO. (IF KNOWN, SEE <b>10/088,463</b> )	INTERNATIONAL APPLICATION NO. <b>PCT/JP01/06214</b>	ATTORNEY'S DOCKET NUMBER <b>113278-006</b>
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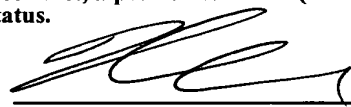
24. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1)-(5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1040.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$890.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$740.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<b>CALCULATIONS PTO USE ONLY</b>  <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; text-align: right;"><b>\$0.00</b></td> <td style="width:50%;"></td> </tr> <tr> <td style="text-align: right;"><b>\$130.00</b></td> <td></td> </tr> </table>		<b>\$0.00</b>		<b>\$130.00</b>	
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<b>\$130.00</b>									
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; text-align: right;"><b>\$130.00</b></td> <td style="width:50%;"></td> </tr> </table>		<b>\$130.00</b>			
<b>\$130.00</b>									
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE						
Total claims	- 20 =	0	x \$18.00	<b>\$0.00</b>					
Independent claims	- 3 =	0	x \$84.00	<b>\$0.00</b>					
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>					
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$130.00</b>					
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				<b>\$0.00</b>					
<b>SUBTOTAL =</b>				<b>\$130.00</b>					
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>					
<b>TOTAL NATIONAL FEE =</b>				<b>\$130.00</b>					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>					
<b>TOTAL FEES ENCLOSED =</b>				<b>\$130.00</b>					
				Amount to be: refunded \$					
				charged \$					

- a. ☒ A check in the amount of **\$130.00** to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **02-1818** A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Thomas C. Basso (Reg. No. 46,541)  
 BELL, BOYD & LLOYD LLC  
 P.O. Box 1135  
 Chicago, IL 60690-1135  
 Phone: 312/807-4310

  
 \_\_\_\_\_  
 SIGNATURE  
 Thomas C. Basso  
 \_\_\_\_\_  
 NAME  
 46,541  
 \_\_\_\_\_  
 REGISTRATION NUMBER  
 July 23, 2002  
 \_\_\_\_\_  
 DATE

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 130.00 OP

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Okuyama, et al.

Docket No.

113278-006

Serial No.

10/088,463

Filing Date

July 23, 2002

Examiner

Unknown

Group Art Unit

Unknown

Invention: **SEMICONDUCTOR LIGHT-EMITTING ELEMENT AND SEMICONDUCTOR LIGHT-EMITTING DEVICE**

I hereby certify that the following correspondence:

Transmittal Letter to the United States Designated/Elected Office (duplicate); Executed Declaration and Power of Attorney (4 pgs.); Copy of Notification of Missing Requirements (2 pgs.); check in the amount of \$130.00; and return receipt postcard.

*(Identify type of correspondence)*

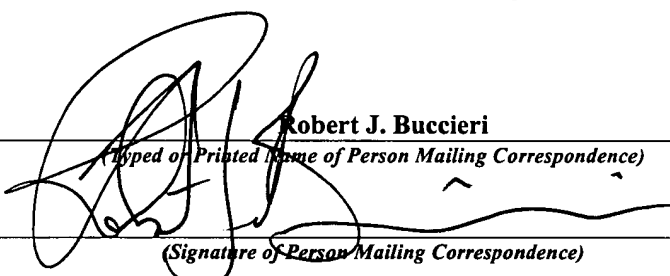
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

July 23, 2002

*(Date)*

Robert J. Buccieri

*(Typed or Printed Name of Person Mailing Correspondence)*

  
*(Signature of Person Mailing Correspondence)*

EV 113758070 US

*("Express Mail" Mailing Label Number)*

**Note: Each paper must have its own certificate of mailing.**

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371****113278-006**

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

**10/088,463**

INTERNATIONAL APPLICATION NO.

**PCT/JP01/06214**

INTERNATIONAL FILING DATE

**July 18, 2001**

PRIORITY DATE CLAIMED

**July 18, 2000**

TITLE OF INVENTION

**SEMICONDUCTOR LIGHT-EMITTING ELEMENT AND SEMICONDUCTOR LIGHT-EMITTING DEVICE**

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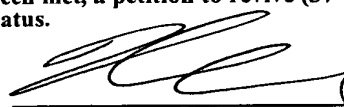
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				<b>Amount to be: refunded</b>	\$
				<b>charged</b>	\$

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 BELL, BOYD & LLOYD LLC  
 P.O. Box 1135  
 Chicago, IL 60690-1135  
 Phone: 312/807-4310



SIGNATURE

Thomas C. Basso

NAME

46,541

REGISTRATION NUMBER

July 23, 2002

DATE



UNITED STATES PATENT AND TRADEMARK OFFICE

 Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/088,463	Okuyama	113278-006

INTERNATIONAL APPLICATION NO.
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PCT/JP01/06214

I.A. FILING DATE	PRIORITY DATE
------------------	---------------

07/18/2001

 William E Vaughan  
 Bell Boyd & Lloyd  
 P O Box 1135  
 Chicago, IL 60690

CONFIRMATION NO. 4882

371 FORMALITIES LETTER



\*OC000000008457666\*

Date Mailed: 07/17/2002

NUE: 9/17/02

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Substitute Specification

RECEIVED  
 BELL, BOYD & LLOYD  
 INTELLECTUAL PROPERTY DOCKET  
 JUL 22 2002  
 ATTY: WEV - TCB  
 DOCKET # 113278-006

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAYA L LEWIS BALTIMORE

Telephone: (703) 305-3695

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/088,463	PCT/JP01/06214	113278-006

FORM PCT/DO/EO/905 (371 Formalities Notice)